



**CalPERS Placement Agent Information Disclosure Form – Amendments**  
**(To Be Utilized for Amendments to Existing Investment Contracts)**  
**Revised August 12, 2010**

This form facilitates the disclosures and contractual obligations required by 2 Cal. Code Regs. Section 559 -- Disclosure of Placement Agent Fees, Gifts and Campaign Contributions ("Policy").

**This form is only required for an amendment to an existing investment.**  
**Please refer to 2 Cal. Code Regs. Section 559 prior to completing this form.**

Name of Investment Transaction/Investment Management Contract with CalPERS:  
(the "Investment" or "Contract").

Firm Name: \_\_\_\_\_

Contact Person: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Phone No: \_\_\_\_\_

Name of CalPERS Contact (if applicable): \_\_\_\_\_

Have you, your firm or your firm's principals, employees, agents, or affiliates compensated or agreed to compensate, directly or indirectly, any person (whether or not employed by you) or any entity to act as a Placement Agent in connection with the offer of assets, securities, or services to Investment or the Contract by CalPERS "or a CalPERS Vehicle."? (§559 (b)1.a.)

☐ Yes. ☐ No.

Will the substantive amendment benefit a Placement Agent in any manner?

☐ Yes. ☐ No.

**If you checked Yes for one or both of the above questions, please continue completing the rest of the form and provide your signature at the end of the Form.**

**If you checked No for both questions, please skip the rest of the Form and provide your signature at the end of the Form.**

Please list the names and relationship for each officer, partner, or principal of the Placement Agent (and any employee providing similar services), in connection with the investment by CalPERS, and attach a resume for each of them detailing each person's (i) education, (ii) professional designations, (iii) regulatory licenses and (iv) investment and work experience. Please check the box if any person listed is a current or former CalPERS Board member, employee, or Consultant, or a member of the immediately family of any such person. Any officer, director, or employee actively providing placement agent services with regard to CalPERS or receiving more than 15% of the placement agent fees should provide information required as well.  
(§559 (b)1.b.)

Name	Relationship

☐ Please attach a written copy of any and all agreements between you and the Placement Agent related to the assets, securities, or services offered to CalPERS and check the box to confirm that the agreements have been attached.  
(Policy §559 (b)1.e.) (PLEASE NOTE: A summary of this agreement is not acceptable.)

Provide a description of any and all compensation of any kind provided or agreed to be provided to a Placement Agent related to the assets, securities, or services offered to CalPERS including the nature, timing and value thereof.(§559 (b)1.c.) (PLEASE NOTE: In order to report this amount we will need a dollar amount specifically allocable to the CalPERS Investment. If needed, please provide an estimate and note it as such.)

\_\_\_\_\_

Describe the services to be performed by the Placement Agent, including whether the Placement Agent is utilized by you for all prospective clients or only a subset of your prospective clients. (§559(b)1.d.)

\_\_\_\_\_

Please list the names of any current or former CalPERS Board members, employees, or Consultants who suggested or otherwise assisted in the retention of the use of the Placement Agent(s) noted above.  
(§559(b)1.f.)

\_\_\_\_\_

☐ Please check the box indicating whether the Placement Agent or any affiliates is registered with the SEC or FINRA or CFTC. Also check the box indicating whether the Placement Agent or any of its affiliates (who is located and operates outside the United States and interacts exclusively with CalPERS Vehicles formed and operated outside of the United States) is registered with a recognized non-U.S. financial regulatory authority. Provide the details of such registrations (U.S. and/or recognized non-U.S.) below. Please list exactly which entities or ~~principals~~ individuals are registered. (§559(b)1.g.)

\_\_\_\_\_

☐ Please check the box indicating whether the Placement Agent or any of its affiliates is registered as a lobbyist with any state or federal government. If so, provide the names of those registered along with the jurisdiction in which they are registered. (§559(b)1.h.)

\_\_\_\_\_

By executing this form the undersigned represents and warrants that the information set forth herein is true and correct. Until there is a final written agreement between the undersigned and CalPERS or discussions regarding a prospective agreement have terminated, the undersigned agrees to update this information within 14 calendar days of any changes the date the External Manager knew or should have known of any change to this information.

The Placement Agent Information Disclosure and their attachments shall be public record subject to disclosure under the California Public Records Act. No confidentiality restrictions shall be placed by the External Manager or the Placement Agent on any information provided pursuant to this policy. (§559(i))

The undersigned represents and agrees that it shall make a representation and warranty as to the continuing accuracy of this information in any final written agreement between it and CalPERS. The undersigned also agrees that any final written agreement between the undersigned and CalPERS and any amendment to the final written agreement will contain the provisions set forth in §559(d)4. (§559(b)2.)

The execution and delivery of this form has been authorized by all necessary action by the undersigned.

Name of Firm: \_\_\_\_\_

\_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_

\_\_\_\_\_  
Date: \_\_\_\_\_